| FORM | PTO-139 | 00 (Modified) U.S. PATENT AND TRADE | ATTORNEY'S DOCKET NUMBER | | | | | | | |
|----------|---------------|--|---|--|--|--|--|--|--|--|
| (REV. | 7-2004) TI | NO (Modified) U.S. PATENT AND TRADE! RANSMITTAL LETTER | 147-04 | | | | | | | |
| | 11 | | | U.S. APPLICATION NO. (If known, see 37 CFR 1.5) | | | | | | |
| | CO | | ED OFFICE (DO/EO/US) SSION UNDER 35 U.S.C. 371 | 10/516900 | | | | | | |
| DITE | | IONAL APPLICATION NO. | INTERNATIONAL FILING DATE | PRIORITY DATE CLAIMED | | | | | | |
| INTE | | CT/US2003/027932 | September 8, 2003 | September 9, 2002 | | | | | | |
| ľ | | NVENTION | | | | | | | | |
| Wha | ıle-Sa | ife Rope | | | | | | | | |
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| | | T(S) FOR DO/EO/US L. Holy | | | | | | | | |
| | | | | | | | | | | |
| Appl | icant I | nerewith submits to the United St | ates Designated/Elected Office (DO/EO/US) | the following items and other information: | | | | | | |
| 1. | × | | | | | | | | | |
| 2. | | This is a FIRST submission of items concerning a submission under 35 U.S.C. 371. This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. | | | | | | | | |
| 3. | | | - | C. 371(f)). The submission must include items (5), | | | | | | |
| | _ | (6), (9) and (24) indicated below | v. | | | | | | | |
| 4. | \boxtimes | The US has been elected (Article | e 31). | | | | | | | |
| 5. | \boxtimes | A copy of the International Application as filed (35 U.S.C. 371 (c) (2)) | | | | | | | | |
| | | a. is attached hereto (req | uired only if not communicated by the Intern | ational Bureau). | | | | | | |
| | | | ed by the International Bureau. | | | | | | | |
| | | • | application was filed in the United States Rec | | | | | | | |
| 6. | \boxtimes | An English language translation | U.S.C. 371(c)(2)). | | | | | | | |
| | | a. 🛮 is attached hereto. | | | | | | | | |
| | _ | | abmitted under 35 U.S.C. 154(d)(4). | | | | | | | |
| 7. | \boxtimes | •• | | | | | | | | |
| | | | quired only if not communicated by the Intern | national Bureau). | | | | | | |
| | | | ted by the International Bureau. | decease has NOT and | | | | | | |
| | | | owever, the time limit for making such amend | uments has NOT expired. | | | | | | |
| 0 | | d. An English language translation | | Auticle 10 (25 U.S.C. 271(a)(2)) | | | | | | |
| 8. 9. | | An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)). | | | | | | | | |
| 10. | | | of the annexes to the International Prelimina | ry Examination Report under PCT | | | | | | |
| 10. | | Article 36 (35 U.S.C. 371 (c)(5) | | ay and and an | | | | | | |
| 11. | | A copy of the International Prel | iminary Examination Report (PCT/IPEA/409 |). | | | | | | |
| 12. | \boxtimes | A copy of the International Sear | rch Report (PCT/ISA/210). | | | | | | | |
| 10 | ems 1 | 3 to 23 below concern documen | t(s) or information included: | | | | | | | |
| 13. | | An Information Disclosure Stat | ement under 37 CFR 1.97 and 1.98. | | | | | | | |
| 14. | \boxtimes | An assignment document for re- | cording. A separate cover sheet in complianc | e with 37 CFR 3.28 and 3.31 is included. | | | | | | |
| 15. | | A FIRST preliminary amendment. | | | | | | | | |
| 16. | | A SECOND or SUBSEQUENT | Γ preliminary amendment. | | | | | | | |
| 17. | | A substitute specification. | | | | | | | | |
| 18. | | A power of attorney and/or change of address letter. | | | | | | | | |
| 19. | | A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825. | | | | | | | | |
| 20. | | A second copy of the published International Application under 35 U.S.C. 154(d)(4). | | | | | | | | |
| 21. | | A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4). | | | | | | | | |
| 22. | Ø | Express Mail Label No. <u>EV 281506489 US</u> | | | | | | | | |
| 23. | | Other items or information: | | | | | | | | |
| | | | | | | | | | | |
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| U.S. A | PPLICA | IIC | 07516 | 900 | PCT/US2003/027 | | NO. | | | 47-04 |
|---|---|--------------------|--|--------------------------------|--|--------------------|------------------------------|----------|-------------------------|----------------|
| 24. | Т | he foll | owing fees are subr | nitted:. | | | | CA | LCULATION | S PTO USE ONLY |
| BASIO | Neithe interna | r interi | search fee (37 CFR | examination 1.445(a)(2)) | fee (37 CFR 1.482) nor | | \$1110.00 | | | |
| | ☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$950.00 | | | | | | | | | ٠. |
| Ø | ✓ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO | | | | | | | | | |
| | International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) | | | | | | | | | |
| | Internation | ational claim: | satisfied provision | s of PCT Art | CFR 1.482) paid to USPTO icle 33(1)-(4) | | \$100.00 | - | | |
| | | | | | ATE BASIC FEE AM | | | | \$790.00 | |
| Surcha month | arge of S s from t | 6130.06 he earl |) for furnishing the iest claimed priorit | oath or decla y date (37 Cl | aration later than \square 20 \square 30 FR 1.492(e)). | | | | \$0.00 | |
| CL | AIMS | | NUMBER | FILED | NUMBER EXTRA | | RATE | | | |
| Total o | claims | | 17 | - 20 = | 0 | х | \$18.00 | | \$0.00 | |
| _ | ndent c | | 1 | - 3= | 0 | х | \$88.00 | + | \$0.00 | |
| Multip | le Depe | ndent | Claims (check if a) | | ADOVE CALCIII AT | | D - | + | \$0.00 \$790.00 | |
| | TOTAL OF ABOVE CALCULATIONS = Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. | | | | | | | <u> </u> | \$395.00 | |
| | | | | | SUB' | TO' | TAL = | t | \$395.00 | |
| Proces month | sing fee | of \$1. | 30.00 for furnishing iest claimed priorit | g the English ty date (37 CI | translation later than \Box 2 | | □ 30 + | | \$0.00 | |
| | · · · | | | | TOTAL NATIONAL | L F | EE = | | \$395.00 | |
| Fee for | r record panied | ing the | enclosed assignme ppropriate cover sh | ent (37 CFR 1 neet (37 CFR | .21(h)). The assignment must be 3.28, 3.31) (check if applicable | be l e). | | | \$0.00 | |
| | | | | | TOTAL FEES ENCL | OS | ED = | | \$395.00 | |
| | | | | | | | | | ount to be: refunded | \$ |
| | | | | | | | | <u> </u> | charged | \$ |
| a. | \boxtimes | A che | ck in the amount o | s \$395 | to cover the above fee | s is e | enclosed. | | | |
| b. | | Pleas | e charge my Depos | it Account No | o in the am | ount | of | | to cover t | he above fees. |
| c. | \boxtimes | | Director is hereby a posit Account No. | | charge any additional fees which | h may | y be required | l, or cr | edit any overpa | yment |
| d. | | | | | . WARNING: Information on to this form. Provide credit can | | | | | |
| NOTE 1.137(| : Whe a) or (b | re an a)) mus | ppropriate time li t be filed and gran | mit under 37 ited to restor | CFR 1.494 or 1.495 has not be the International Application | oeen n to | met, a petiti pending sta | on to | revive (37 CFF | ₹ |
| SEND | ALL C | ORRE | SPONDENCE TO: | : | | | | 4— | | |
| John J. Simkanich, Esq. Reg. No. 26,036 | | | | | | SI | SIGNATURE | | | |
| | & Paul | - | d Manhat Steel t | | | John J. Simka | | | 1 | |
| 2900 Two Thousand Market Street Philadelphia, PA 19103 | | | | | | N | AME | | | |
| 215-568-4900 | | | | | | 26 | 5,036 | | | |
| | | | | | REGISTRATIO | | | N NUMBER | | |
| | | | | | D | ecember 3, | er 3, 2004 | | | |
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DT05 Rec'd PCT/PTO 0 3 DEC 2004

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Serial No.:

Unassigned

Filed:

Herewith

For:

Whale-Safe Rope

Inventor:

Norman L. Holy

Atty. Doc. No.: 147-04

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DATE OF DEPOSIT December 3, 2004

I HEREBY CERTIFY THAT THIS PAPER IS BEING DEPOSITED WITH THE UNITED STATES POST OFFICE "EXPRESS MAIL POST OFFICE TO ADDRESSEE" SERVICE UNDER 37 C.F.R. § 1.10 ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO Mail Stop PCT COMMISSIONER FOR PATENTS, P.O. Box

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Sir:

Enclosed herewith are the following:

(1) Express Mail Cover Letter;

- (2) Transmittal to the U.S. Designated/Elected Office;
- (3) International Publication WO 2004/021771 A2;
- (4) Declaration and Power of Attorney;

(5) International Search Report;

- (6) Notification of Transmittal of International Search Report;
- (7) Assignment (signed);
- (8) PTO Form1595;
- (9) Check in the amount of \$395.00 (filing fee);
- (10) Check in the amount of \$40.00 Assignment;
- (11) Paul & Paul postcard to be returned by the PTO.

THE COMMISSIONER IS HEREBY AUTHORIZED TO CHARGE ANY ADDITIONAL FEES ASSOCIATED WITH THIS COMMUNICATION, OR CREDIT ANY OVERPAYMENT, TO PAUL & PAUL DEPOSIT ACCOUNT NO. 16-0750, ORDER NO. 2762

Respectfully/submitted,

John J. Simkanich Reg. No. 26,036

Paul & Paul

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Philadelphia, PA 19103

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